

SUMMARY OF PBOT SUBSTANTIVE RULE FILINGS (1994-2005) (Part of Appendix A)

<u>File #</u>	<u>Date</u>	<u>Rule #</u>	<u>Amend.</u>	<u>New</u>	<u>Self-Certif.</u>	<u>CFTC Approv.</u>	<u>Description/Topic</u>
2005-04	10/07/05	1207(d)	X		X		Daily settlement prices - foreign currency contracts
2003-18	11/14/03	334A		X	X		Board Broker trading in low volume contracts and appointment in such contracts
2003-17	11/14/03	1207(c)	X		X		Method used to establish final settlement value of cash-settled foreign currency contracts
2003-16	11/06/03	1207(c)		X	X		Method used to establish final settlement value of cash-settled foreign currency contracts
2003-14	10/31/03	361	X		X		EFPs not permitted to be structured with cash-settled futures contracts
2003-13	10/15/03	262		X	X		Segregation and secured requirements - requirements for clearing members re: customer funds
2003-12	10/15/03	212		X	X		Information requests by Board/Exchange
2003-11	11/14/03	500 series	X	X	X		Arbitrations - delegation to NFA
2003-08	10/15/03	366		X	X		References to CFTC rules include successor rules
2003-06	10/15/03	365		X	X		Exchange recordkeeping - creation/storage
2003-05	10/23/03	10, 363, 1200s	X	X	X		Adopting and amending rules re: foreign currency futures and clearing; listing of new futures contract; adding OCC
2003-04	09/30/03	364		X	X		Prohibiting manipulation, attempted manipulation, cornering of commodities
2003-02	08/13/03	105	X		X		Reduction of posting period for transfers of PBOT membership shares
99-01	03/05/99	1300		X		X	Prohibition of board, disciplinary committee and oversight panel members from voting on matters in which such person is a party or has a financial interest in the outcome - intended to address new CFTC Regulation 1.69; Note: Minor amendment to 99-01 filed 3/9/1999.
95-03	11/09/95	324-26, 406	X			X	Time stamping requirements
95-02	01/30/95	208	X			X	Transactions for exchange officers/employees - related to amendments to CFTC Reg 1.59; Note: Correction to 95-02 filed 2/14/1995.
95-01	01/30/95	406(d)(C)(3)	X			X	Summary disciplinary proceedings for failure to comply with exchange inquiry
N/A	10/26/94	1204	X			X	Amendment to trading hours to correspond to PHLX trading hours in foreign currency options.
94-01	01/24/94	208	X			X	Transactions for exchange officers/employees - related to amendments to CFTC Reg 1.59; Note: Correction to 94-01 filed 1/25/1994.

*NOTE: Certain rule filings, related to amendments to the PBOT's fee schedule, have been omitted.